



Serial No.: 10/092,061
Examiner: Not Assigned

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Stefan Keller-Tuberg
Serial No.: 10/092,061
Filed: March 5, 2002
Title: Facilitating IP-Based Multicasting Control Connections

Docket: 135907
Art Unit: 2661
Examiner: Not Assigned

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INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR 1.97 & 1.98

Commissioner for Patents
P. O. Box 1450
Alexandria, VA 22313-1450

Certificate Under 37 C.F.R. §1.8(a)

I hereby certify that the above correspondence is being deposited with the U.S. Postal Service as First Class Mail in an envelope directed to: Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450 on July 16, 2003.

Melanie Murdock
Melanie Murdock

In the matter of the above-identified application, Applicant is submitting herewith a copy of a communication from a foreign patent office in a counterpart foreign application and copies of the documents listed in the attached form equivalent to Form PTO-1449 for the Examiner's consideration.

This Information Disclosure statement is being submitted:

- ☐ 1) within three months of the filing date.
- ☐ 2) within three months of the date of entry of the national phase.
- ☒ 3) before the mailing date of a first Office Action on the merits.
- ☐ 4) before the mailing date of either a Final Action or a Notice of Allowance, and is accompanied by:
 - ☐ 1) the fee of \$_____ set forth in 37 CFR 1.17(p).
 - ☐ 2) the following certification specified in 37 CFR 1.97(e).

On information and belief, I hereby certify that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.

- ☒ 1) Each of the documents listed on the attached form equivalent to Form PTO-1449 is in the English language.

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- ☐ 2) To the extent the documents listed on the attached form equivalent to Form PTO-1449 are not in the English language, the requirement of 37 CFR 1.98(a) (3) for a concise explanation of the relevance is satisfied by:
- ☐ 1) an English language version or translation of the foreign patent office report citing the documents.
 - ☐ 2) the following remarks.
 - ☐ 3) the discussion of these documents in the specification.

It is respectfully requested that this Information Disclosure Statement be considered by the Examiner.

Please charge any shortage in the fees due in connection with the filing of this paper, includes extension of time fees, to the Deposit Account No. 50-0838 of Alcatel USA, and please credit any excess fees to such Deposit Account.

Respectfully submitted,

ALCATEL


Craig A. Hoersten
Reg. No. 38,917

Dated: 7/16/03

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PTO/SB/08a (05-03)

Approved for use through 05/31/2003. OMB 0651-0031

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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

1

C

1

Application Number

10/092.061

Filing Date

March 5, 2002

First Named Inventor

Stefan Keller-Tuberg

Art Unit

2661

Examiner Name

Not Assigned

Attorney Docket Number

135907

U. S. PATENT DOCUMENTS

[illegible]

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ *Number ⁴ *Kind Code ⁵ (if known)				
	3	EP 1 133 117 A2	09/12/2001	Nortel Networks		
	4	EP 1 133 117 A3	09/12/2001	Nortel Networks		

Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional). 2 See Kinds codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 3 Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 4 For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 5 Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 6 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/092,061	
	Filing Date	March 5, 2002	
	First Named Inventor	Stefan Keller-Tuberg	
	Art Unit	2661	
	Examiner Name	Not Assigned	
Total Number of Pages in This Submission	29	Attorney Docket Number	135907

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<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Certified Copy of Priority Document(s)	Remarks	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Craig A. Hoersten Reg. No. 38,917
Signature	
Date	July 16, 2003

CERTIFICATE OF TRANSMISSION/MAILING	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.	
Typed or printed name	Melanie Murdock
Signature	
Date	July 16, 2003

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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